
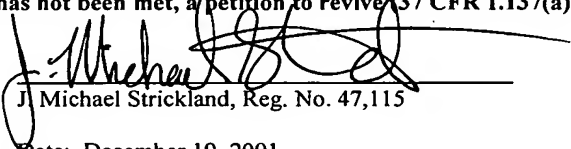
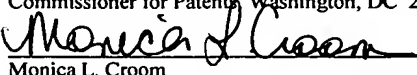


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| Form PTO-1390<br>(Rev. 11-2000)   |  | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE |  | ATTORNEY'S DOCKET NUMBER<br>9233-74                                 |  |
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A FILING UNDER 35 U.S.C. 371</b>   |  |   |  | U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br><b>10/018879</b> |  |
| INTERNATIONAL APPLICATION NO.<br>PCT/US00/16879   |  | INTERNATIONAL FILING DATE<br>June 19, 2000              |  | PRIORITY DATE CLAIMED<br>June 19, 1999                              |  |
| TITLE OF INVENTION<br>AMPHIPHILIC DRUG-OLIGOMER CONJUGATES WITH HYDROLYZABLE LIPOPHILE COMPONENTS AND METHODS FOR MAKING AND USING THE SAME   |  |   |  |   |  |
| APPLICANT(S) FOR DO/EO/US<br>Nnochiri Ekwuribe, Muthukumar Ramaswamy, Jayanthi Rajagopalan  |  |   |  |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |  |   |  |
| <ol style="list-style-type: none"><li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li><li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li><li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li><li>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li><li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))<ol style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li><li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li><li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li></ol></li><li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).<ol style="list-style-type: none"><li>a. <input type="checkbox"/> is attached hereto.</li><li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4)</li></ol></li><li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application Under PCT Article 19 (35 U.S.C. 371(c)(3))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li><li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li><li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li><li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li></ol></li><li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li><li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li><li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report Under PCT Article 36 (35 U.S.C. 371(c)(5)).</li></ol> |  |   |  |   |  |
| <b>Items 11 to 20 below concern document(s) or information included:</b>  |  |   |  |   |  |
| <ol style="list-style-type: none"><li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li><li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li><li>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li><li>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li><li>15. <input type="checkbox"/> A substitute specification.</li><li>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</li><li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li><li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li><li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4)</li><li>20. <input type="checkbox"/> Other items or information: International Preliminary Examination Report; Demand</li></ol>   |  |   |  |   |  |

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| U.S. APPLICATION NO. (if known) <b>10/018879</b>   |              | INTERNATIONAL APPLICATION NO.<br>PCT/US00/16879  |                   | ATTORNEY DOCKET NO.<br>9233-74   |    |
| 21. <input type="checkbox"/> The following fees are submitted:<br>BASIC NATIONAL FEE (37 CFR 1.492(a) (1) - (5)):<br><br>Neither international preliminary examination fee (37 CFR 1.482)<br>nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO<br>and International Search Report not prepared by the EPO or JPO..... <b>\$1040.00</b><br><br>International preliminary examination fee (37 CFR 1.482) not paid to<br>USPTO but International Search Report prepared by the EPO or JPO..... <b>\$890.00</b><br><br>International preliminary examination fee 37 CFR 1.482) not paid to USPTO<br>but international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... <b>\$740.00</b><br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... <b>\$710.00</b><br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>and all claims satisfied provisions of PCT Article 33(1)-(4)..... <b>\$100.00</b><br><br><b>ENTER APPROPRIATE BASE FEE AMOUNT =</b> |              |  |                   | CALCULATIONS      PTO USE ONLY<br><br><br><br><br><br><br><br><br><br>710.00<br><br><br><br><br><br><br><br><br><br>\$710.00 |    |
| Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months<br>from the earliest claimed priority date (37 CFR 1.492(e)).  |              |  |                   | \$   |    |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA   | RATE              | \$   |    |
| Total claims   | 20 - 20 =    | 0  | x <b>\$18.00</b>  | \$   |    |
| Independent Claims   | 1 - 3 =      | 0  | x <b>\$84.00</b>  | \$   |    |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |  | + <b>\$280.00</b> | \$   |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |  |                   | \$710.00   |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are<br>reduced by 1/2   |              |  |                   | \$   |    |
| <b>SUBTOTAL =</b>  |              |  |                   | \$710.00   |    |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30<br>months from the earliest claimed priority date (37 CFR 1.492(f)).   |              |  |                   | \$   |    |
| <b>TOTAL NATIONAL FEE =</b>  |              |  |                   | \$710.00   |    |
| Fee for Recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be<br>accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +   |              |  |                   | \$   |    |
| <b>TOTAL FEES ENCLOSED =</b>   |              |  |                   | \$710.00   |    |
|  |              |  |                   | Amount to be<br>refunded:  | \$ |
|  |              |  |                   | charged:   | \$ |
| a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.<br>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 50-0220 in the amount of \$710.00 to cover the above fees. A duplicate copy of<br>this sheet is enclosed.<br>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment<br>to Deposit Account No. 50-0220. A duplicate copy of this sheet is enclosed.<br>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card</b><br><b>information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.  |              |  |                   |  |    |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b))<br>must be filed and granted to restore the application to pending status.  |              |  |                   |  |    |
| SEND ALL CORRESPONDENCE TO:  |              |  |                   |  |    |
| <br><b>20792</b><br>PATENT TRADEMARK OFFICE   |              | <br>J. Michael Strickland, Reg. No. 47,115<br>Date: <u>December 19, 2001</u> |                   |  |    |
| <b>CERTIFICATE OF EXPRESS MAILING</b><br>Express Mail Label No. EV015665143US<br>Date of Deposit: December 19, 2001<br>I hereby certify that this correspondence is being deposited with the United<br>States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR<br>1.10 on the date indicated above and is addressed to: BOX PCT, Attn: DO/EO/US,<br>Commissioner for Patents, Washington, DC 20231.<br><br>Monica L. Croom  |              |  |                   |  |    |